

California Air Resource Board
INSTRUCTIONS FOR AIR CLEANING DEVICE CERTIFICATION APPLICATION
VERSION 1.0

General Instructions

This application is provided by the California Air Resources Board (ARB). These instructions are intended to guide you through the air cleaner certification process in accordance with Title 17, California Code of Regulations, subchapter 8.7 “Indoor Air Cleaning Devices”, Section 94804. Please read the following instructions prior to filling out the application, and make sure that the application is complete prior to submitting it to ARB. Failure to provide ARB with complete information regarding your device may delay the certification process and/or may result in your application being rejected. If you have any questions regarding this application or the procedure described here please contact Ryan Johnson at (916) 323-2190 or via email at aircleaners@listserv.arb.ca.gov.

The application should be filled out and submitted electronically when feasible. Electronic applications may either be sent via email or mailed to ARB on a CD. The application may be viewed, filled out electronically, and saved using Adobe Reader, which is a free download on the Adobe website. All applications must include the required signatures. Signatures should be submitted electronically with the electronic form when feasible; however, a hardcopy of the form with the appropriate hand-written signatures may be printed and mailed to ARB. If the application is filled in by hand, please do so in dark blue or black ink. It may be necessary to submit some schematics or other documents in hard copy form; in such cases, we would nonetheless appreciate receiving the application form electronically when feasible in order to expedite the application review process.

Note: When opening the certification application you may see warning messages stating “This operation is not permitted” and “The permission handler has already been added for this doc.” Any such messages may be ignored.

Who should fill out the application?

The application is comprised of seven sections. Sections A through D (pages 1-3) are to be completed and signed by the manufacturer or a professional association or certification organization on behalf of the manufacturer. Sections E through G (pages 4-6) are to be completed and signed by the test facility where testing is conducted according to Section 37 of ANSI/UL Standard 867, Fourth Edition, as published December 21, 2007; or, for mechanical filtration only devices, ANSI/UL Standard 507 for Electric Fans, Ninth Edition, published September 27, 2007. Please note that all pages of the application form must be submitted together.

At the bottom of each of the Sections A through D a box is provided to allow designation of the information in that section as proprietary. Such information will be kept confidential to the extent allowed by law. Currently ARB plans to notice approved models on its website, typically by listing only brand name, model name and number, and the date the model was certified by ARB.

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Section A. Applicant Information

Section A.1 is to be filled out by the manufacturer or their representative. This may be the actual producer of the air cleaner or the brand name company that designed the air cleaner, and that has contracted production and/or conducts the primary marketing for the air cleaner. It may also be a business association or certification organization that represents the manufacturer. Please fill in the company name and address completely. The primary contact should be someone who will be readily available to answer questions that may arise regarding the submitted application and/or attachments.

In Section A.2, please provide contact information for the primary brand name company or retailer for whom the product was manufactured. If the model was produced for multiple brand name companies, please attach a list with contact information for all such companies.

In Section A.3, please provide contact information for the actual manufacturer of the air cleaner model tested, if different from A.1.

Section B. Manufacturer Representative Information

If you are a professional association or certification organization and are filling out the application as a business representative of the manufacturer, please fill out Section B in addition to section A. Please be sure to include all pertinent contact information.

Section C. Indoor Air Cleaning Device Information

Please list all pertinent information required to identify the device being tested. List all relevant devices within the same model group and describe how each model varies from the model being tested. The responsible party, typically the primary contact listed in section A, **must sign and date** the statement at the bottom of the page to verify that the models listed all belong to the same model group based on ARB's definition of model group*. Scanned images of signatures are acceptable. To add a scanned image of your signature, first scan your signature and save it as an image file (saving the file in the ".jpeg" format is suggested), then click on the space above the signature line, find the location of the image file on your computer, and click "Select" to insert it.

Section D. Device Design and Operation

Section D.1 is to be used to clearly describe the design and function of the air cleaner being tested and certified, and how it is operated. Attach schematics and any additional documentation sufficient to verify the design and operation principles. Please also use

* "Model group" means indoor air cleaning devices sharing the same design, operational features, device output, and performance characteristics, and manufactured by the same manufacturer. Units in the same model group may be marketed under different brand names. Units that differ only in decorative treatments such as color, remote control, or other cosmetic features not related to ozone output would belong to the same model group.

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this space to reference page numbers and headings of all attachments that are pertinent to section D.1. If there is a functional difference between the model being tested and the model(s) listed in Section C, then please attach schematics of the model(s) listed in Section C, and clearly indicate where those differences lie. Schematics are not needed for models listed in Section C that differ only by color or other cosmetic characteristics.

In Section D.2 please thoroughly describe all regular maintenance requirements or suggestions, and reference page numbers and headings of all attachments that are pertinent to section D.2.

Section D.3 applies to devices that use mechanical filtration only. All such devices must undergo ANSI/UL Standard 507 testing. Different documentation is required depending on when the device was tested:

Devices tested prior to or on August 8, 2008. Please provide documentation demonstrating that the device has passed ANSI/UL Standard 507. Documentation must include a copy of the letter or notice from the test laboratory showing that the model was approved under Standard 507. Testing must be conducted by a laboratory recognized as a Nationally Recognized Testing Laboratory (NRTL) by the U.S. Occupational Safety and Health Administration (OSHA), to perform testing for ANSI/UL Standard 507.

Devices tested after August 8, 2008. All such devices must be tested according to ANSI/UL Standard 507 for Electric Fans, Ninth Edition, September 27, 2007. Testing must be conducted by a laboratory currently recognized as a Nationally Recognized Testing Laboratory (NRTL) by the U.S. Occupational Safety and Health Administration (OSHA), to perform testing for ANSI/UL Standard 507. In addition, the laboratory that tests the device must fill out Sections E and F.1 of the certification application, and they must sign and date the application at the bottom of page five.

If the device also uses an alternative filtration mechanism such as an electric corona and charged plates, generation of ions, or ultraviolet (UV) light, then it does not qualify as a mechanical filtration only device and must meet UL Standard 867 including its Section 37 requirements.

As indicated in Section D.4, marketing materials and owner's manuals must be included with the application, if available,.

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Signature requirements for Sections A through D

The manufacturer or their representative **must print their name and sign and date the form** at the bottom of page three verifying that the information provided in sections A through D is true and correct.

Section E. Air Cleaner Test Information

For all air cleaners other than mechanical filtration only devices, this section must be filled out by a testing laboratory that has been approved by ARB to carry out testing according to Section 37 of UL Standard 867, Fourth Edition, as published December 21, 2007. Include all pertinent contact information for the primary contact person at the testing laboratory. Please provide a reference to the laboratory document that contains the results of the ozone emission test in the space labeled "Test Document". Please also identify the chamber used to obtain the test results.

Devices using mechanical filtration only. If the device was tested according to ANSI/UL Standard 507 after August 8, 2008 then this section must be filled out by the laboratory that tests the device. Include all pertinent contact information for the primary contact person at the testing laboratory. If ANSI/UL Standard 507 was completed on or before August 8, 2008, the manufacturer or their identifying representative should fill in the information for the laboratory that previously conducted the test and should provide the documentation outlined in Section D.3. Please also check the appropriate box for ANSI/UL Standard 507 in Section F.1.

Section F. Air Cleaner Test Results

This section must be filled out by the testing laboratory that has been approved by ARB to carry out testing according to Section 37 of UL Standard 867, Fourth Edition, as published December 21, 2007; or, for mechanical filtration only devices tested after August 8, 2008, the laboratory that conducted the ANSI/UL Standard 507 testing. Please indicate which ANSI/UL electrical safety standard the device has passed. If the device uses mechanical filtration only, then ozone test results are not required.

Please report all ozone test results as the maximum ozone concentration minus the background ozone concentration for the chamber. If the device was tested at multiple speeds or output levels, report the maximum concentration at each setting. Be sure to list any test failures or exceedances, and any transitory measurements that exceeded 0.050 ppm. All portions of Section F must be completed; please indicate "NA" where an item is not applicable.

The individual responsible for the ozone testing **must print their name and sign and date the form** where indicated at the end of Section F on page 5.

Please also **attach a chain of custody form for the device tested**. The chain of custody form should contain names, dates, and initials of each party that received

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and/or relinquished the device prior to the submittal of the application to the Air Resources Board. The chain of custody form should also list the model number, serial number (if available), and manufacture date for the device.

Devices using mechanical filtration only. If the device was tested according to ANSI/UL Standard 507 after August 8, 2008 then Section F.1 must be filled out by the laboratory that tests the device. A chain of custody form for the device must also be attached, as indicated above. Section F.2 does not need to be filled out; however, the individual responsible for the testing the device must print their name and sign and date the form where indicated at the end of Section F on page 5.

Section G. Additional Comments

Any additional information that the laboratory needs to communicate should be provided here.

Submittal of application and related documents

Please submit applications and related documents to Ryan Johnson of ARB at aircleaners@listserv.arb.ca.gov or mail them to:

(via U. S. mail)
Ryan Johnson
California Air Resources Board
Research Division, 5th floor
P.O. Box 2815
Sacramento, CA 95812

(via FedEx or other ground delivery)
Ryan Johnson
California Air Resources Board
Research Division, 5th floor
1001 I Street
Sacramento, CA 95814
Phone: (916) 445-0753

If mailed or delivered, please indicate "Attention: Certification Application" on the package; if emailed please indicate this in the subject line. ARB will send a confirmation notice within 5 days of receipt of the application. Within 30 days of receipt of the application the primary contact person shown on the application will receive notification of whether the application is complete and has been accepted for review, or if incomplete, what additional information is required.

Thank you for your submittal.